# Instructions for the Preparation and

# Submission of

# Capital Budget Requests

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# I.    INTRODUCTION TO MANUAL

The purpose of this manual is to explain how to prepare and submit the annual capital budget request and five-year capital improvement program requests to the Office of Capital Budgeting (OCB) of the Department of Budget and Management.  This activity utilizes an electronic process called the Capital Budget Information System (CBIS).

CBIS enables applicants for capital funding from State Agencies and non-State organizations, to submit most of the required forms and attachments through the Internet.  This web-based process will increase efficiency by eliminating the existing need for multiple entries of capital budget data, reducing the time spent reviewing data entry, and reducing the potential for errors in capital budget data.  As a result, increased time will be available for analysis of capital budget requests.

The submitting organization will be able to:

1.    Create new budget requests for projects and programs.
2.    Delete existing budget requests for projects and programs.
3.    Enter and update all required information for a budget request.
4.    Submit budget request information to an agency manager for further review (in some agencies.)
5.    Submit the final budget requests electronically to OCB for review.
6.    Avoid the need to make numerous copies of budget requests.

CBIS must be used for all requests for State capital funding.  There are two types of funding requests:

1.    Requests for State-owned facilities.
2.    Requests for Non-State owned facilities.

There are projects and programs within each of the two types of funding requests.

1.    State-Owned Capital Funding Requests
   a. Project – A capital improvement such as acquisition of land, new building construction, building renovation, or utility improvement for a State Agency.  Examples are a new State Police Barrack, a State university building, a State hospital, or a State prison facility.
   b. Program – A capital funding allocation to a State agency that administers funds for a specific type of capital improvement needed by various State agencies.  Examples are handicapped accessibility improvements, asbestos abatement, or facilities renewal.

2.    Non-State Owned Capital Funding Requests
   a. Project – A capital improvement undertaken by a non-State entity, such as a local government or a non-profit organization, for a discrete project that will have a beneficial statewide impact and that the Administration has

agreed to support.  Examples are a cultural attraction such as the aquarium or a community recreation center, a local redevelopment or revitalization project, or a regional health facility.

    b.  Program – A capital funding allocation to a State agency that administers disbursements of funds to local governments, non-profit organizations, or the private sector for specific capital costs in a project that has a statewide significance.  State assistance is usually provided in the form of matching grants, loans, or loan guarantees, generally for more than one project in any given year.  Examples are the Senior Center Grant Program, the Biological Nutrient Removal Program, or the Community Legacy Program.

Please feel free to call your assigned budget analyst about questions concerning the funding categorization of a particular project or program.

In order to assist applicants for State capital funding, this manual provides "screen shots" of the material that must be entered using CBIS.  A screen shot is a facsimile of a computer screen, and it shows the particular kinds of information that are necessary in making a capital budget request.  Also, instructions in this manual, located in the bottom half of the screen shots, show how to enter the information.

Not all of the required request forms are available in CBIS.  Those that are not available in CBIS will be noted in the following sections of this manual.  They must be downloaded from the DBM website, or obtained from the agencies referenced, and submitted to DBM electronically, by mail, or by courier.  This must be done in addition to the electronic submission of the CBIS forms.  Any material not submitted electronically must be submitted with the Agency transmittal letter along with 10 copies of each item.

In order to download forms from the DBM website, go to www.dbm.maryland.gov.

        Click "Budget."
        Click "Instructions and Forms."
        Click "Capital Budget Instructions and Forms."
        Click "Capital Budget Instructions."

Requests for capital improvements for State facilities are generally due on June 30th of each year, and requests for improvements for non-State facilities are generally due on August 15th of each year.

## II. STATE-OWNED PROJECT AND PROGRAM REQUESTS

### A. PURPOSE

The purpose of this section is to describe the documents required for submitting capital funding requests for State-owned facilities.

The statutory requirement for State Agencies to submit information to the Department of Budget and Management can be found in the State Finance and Procurement Article, Subsections 3-601 through 3-607 of the Annotated Code of Maryland.

### B. TYPES OF STATE-OWNED REQUESTS

1. **State-Owned Projects.** These are discrete projects for specific capital improvements. A capital improvement may include acquisition, design, construction, renovation, or equipping of a facility. These terms are defined in Appendix A. In order for the capital improvement to receive funding, it must have been fully described and justified in a facility program that has been approved by the Office of Capital Budgeting of the Department of Budget and Management. See Appendix B for facility program submission requirements.

   The following State agencies should follow the instructions for the submission of documents for any State-owned projects to be requested in the capital budget and five-year capital improvement program:

   > Department of Agriculture
   > Department of Budget and Management
   > Baltimore City Community College
   > Canal Place Preservation and Development Authority
   > Maryland School for the Deaf
   > Maryland Environmental Service
   > Department of General Services
   > Department of Health and Mental Hygiene
   > Historic St. Mary's City Commission
   > Department of Housing and Community Development
   > Judiciary
   > Department of Juvenile Services
   > Department of Labor, Licensing and Regulation
   > Military Department
   > Morgan State University
   > Department of Natural Resources
   > Department of Public Safety and Correctional Services
   > Maryland Department of Planning
   > St. Mary's College of Maryland

Southern Maryland Higher Education Center
Department of State Police
University System of Maryland
Department of Veterans Affairs

2. **State-Owned Programs.** These are on-going programs administered by State agencies to make particular types of capital improvements to State facilities. Examples include handicapped accessibility modifications, or asbestos abatement. The following State agencies, responsible for the programs listed beneath them, should follow the instructions for the submission of documents for State-owned programs.

> Department of Disabilities
>> Accessibility Modifications
> Maryland Energy Administration
>> State Agency Loan Program
> Department of Natural Resources
>> Critical Maintenance Program
>> Dam Rehabilitation Program
>> Oyster Restoration Program
> Maryland Public School Construction Program
>> Renovation of Relocatable Classrooms
> Department of General Services
>> Asbestos Abatement Program
>> Facilities Renewal Program
>> Underground Heating Oil Storage Tank Replacement Program
> University System of Maryland
>> Capital Facilities Renewal Projects

If your State Agency is contemplating a project to provide accessibility for the disabled, a project to reduce the consumption of energy, the abatement of asbestos, a maintenance/repair project that will cost between $100,000 and $1,000,000, or the remediation or replacement of underground heating oil storage tanks, then you should submit your request to the appropriate State Agency listed above. The submission should not be made directly to DBM. Please contact these agencies to determine their submission requirements and due dates.

## C. REQUIRED SUBMISSION DOCUMENTS

### 1. Submission Requirements for State-Owned Projects

a. **CBIS Forms.** Requests for funding State-owned projects in all five years of the State's Capital Improvement Program must be submitted electronically in the Capital Budget Information System (CBIS). See Section V: The Use of CBIS for State-Owned Projects, for screen

shots of required CBIS forms and detailed instructions on how to fill out these screens.

b.  **Letter from Agency Secretary/Director.** Each State Agency submitting a capital budget request in CBIS must also submit an original letter signed by the agency head, which endorses the request. The letter should describe and justify any requested changes to the Governor's most recent five-year capital improvement program. This letter should also be accompanied by a summary of all the projects being requested in the five-year capital improvement program ranked in priority order.

**NOTE:** The following documents, if relevant, must be submitted to DBM. Any material not submitted electronically must be submitted with the agency transmittal letter, along with 10 copies of each item.

c.  **Supporting Information.** Each State Agency submitting a capital budget request for a discrete State-owned capital project may submit any maps, charts, tables, comparisons between capacity and usage, and other supporting information as may be appropriate to support and persuade the Office of Capital Budgeting of the Department of Budget and Management that the project should be funded.

d.  **Equipment Guidelines and Equipment Request Form.** Each State Agency submitting an equipment request should refer to Appendix C-1 for equipment guidelines and submit an equipment list filled in similar to that in Appendix C-2. Copies of this form are available on the DBM website. See the Introduction of this manual for instructions on how to access this form.

e.  **Environmental Assessment Form.** Each project request submitted for the first time must include a copy of an Environmental Assessment Form, and if necessary, a copy of an Environmental Effects Report. If the reports have been submitted with the facility program, they do not have to be resubmitted with the request. Once these forms have been submitted, they do not need to be resubmitted each year, unless conditions change. Copies of these forms are available on the DBM website. See the Introduction of this manual for instructions on how to access these forms. In addition to submitting this form to DBM, you must also submit a copy to the Department of Planning at the following address:

> State Clearinghouse
> Maryland Department of Planning
> 301 W. Preston Street, 11th Floor
> Baltimore, MD 21201-2365
> 410-767-4490

f.  **Project Consistency Report.**  A copy of a Project Consistency Report must accompany each project request that will result in the construction of a new facility or building.  Copies of these forms are available on the DBM website.  See the Introduction of this manual for instructions on how to access these forms. Once these forms have been submitted, they do not need to be resubmitted each year unless conditions change.  In addition to submitting this form to OCB, you must also submit a copy to the Maryland Department of Planning at the following address:

> Maryland Department of Planning
> Plan and Project Review
> 301 W. Preston Street, 11$^{th}$ Floor
> Baltimore, MD 21201
> 410-767-4490

**NOTE:**  If any of the following forms are necessary, the agencies listed below should be contacted for the relevant forms.  Upon completion of the forms, a copy must be submitted electronically, or in hard copy by mail or courier, to DBM.  Any material not submitted electronically must be submitted with the agency transmittal letter along with 10 copies of each item.

g.  **Reforestation Requirements.**  Each project request that involves the disturbance of 40,000 square feet or more of land area must include an evaluation of the proposed site by the Department of Natural Resources as to the reforestation requirements that may apply.  Contact information:

> Department of Natural Resources
> Forest, Wildlife and Heritage Service
> Tawes State Office Building, E1
> 580 Taylor Avenue
> Annapolis, MD 21401
> 410-260-8590

h.  **Chesapeake Bay Critical Areas.**  Each project request that will be located within a Chesapeake Bay Critical Area must include: (1) proof of consultation with the Chesapeake Bay Critical Area Commission; (2) proof of the fact that the agency is considering Critical Area-related impacts as required under COMAR 27.02.05 of the regulations; and (3) a copy of the Commission's comments and responses about the project.  Commission approval will be needed for projects in the Critical Area prior to the stages noted in COMAR 27.02.05.2B of the regulations.  Contact information:

> Department of Natural Resources
> Chesapeake Bay Critical Area Commission
> Tawes State Office Building
> 580 Taylor Avenue
> Annapolis, MD 21401
> 410-260-3460

i. **Historic Preservation.** Each project request that would affect the State's historical and/or cultural resources must be accompanied by either (1) the recommendations of the Maryland Historical Trust regarding the potential for adverse effects on properties listed in, or eligible for, the Maryland Register of Historic Properties, or (2) a report on the status of the Trust's review of the project. Contact information:

> Maryland Department of State Planning
> Maryland Historical Trust
> Office of Preservation Services
> 100 Community Place
> Crownsville, MD 21032
> 410-514-7629

## 2. Submission Requirements for State-Owned Programs

a. **CBIS Forms.** Requests for funding State-owned programs must be submitted electronically in the Capital Budget Information System (CBIS). See Section VI: The Use of CBIS for State-Owned Programs, for screen shots of required CBIS forms and detailed instructions on how to fill out these screens.

b. **Letter from Agency Secretary/Director.** Each State Agency submitting a capital budget request in CBIS must also submit an original letter signed by the agency head, which endorses the request. The letter should describe and justify any requested changes to the Governor's most recent five-year capital improvement program. This letter should also be accompanied by a summary of all the programs being requested in the five-year capital improvement program ranked in priority order as well as a listing of the projects within these programs ranked in priority order.

c. **Supporting Information.** Each State Agency submitting a capital budget request for a State-owned capital program may submit any maps, charts, tables, comparisons between capacity and usage, and other supporting information as may be appropriate to support and persuade the Office of Capital Budgeting of the Department of Budget and Management that the program should be funded. These

documents must be submitted with the agency transmittal letter or transmitted electronically to DBM.  If these documents are not submitted electronically, ten copies of each item should be provided.

### III.    NON-STATE PROJECT AND PROGRAM REQUESTS

### A.  PURPOSE

The purpose of this section is to describe the documents required for submitting capital funding requests for non-State facilities.

The statutory requirement for submission of information to the Department of Budget and Management can be found in the State Finance and Procurement Article, Subsection 3-601 through 3-607, Annotated Code of Maryland.

### B.  TYPES OF NON-STATE FACILITY REQUESTS

1.  **Non-State Owned Projects**. These are State grants for capital projects that are not administered by State agencies; instead they are administered by grant recipients themselves. The capital project must have a beneficial statewide impact and the Administration must agree to support the project through the State's capital budget.  If funding is not provided in the Governor's current Capital Improvement Program, applicants should discuss the project with DBM prior to submitting a request in CBIS.  The following projects are examples of a non-State project with a beneficial Statewide impact.

    National Aquarium in Baltimore Expansion – Center for Aquatic Life and
        Conservation
    East Baltimore Biotechnology Park and West Side Revitalization Projects
    The Maryland Zoo in Baltimore Redevelopment and Facilities Renewal
        Projects
    State Library Resource Center

2.  **State Grant and Loan Programs.** These are on-going State financial assistance programs administered by State Agencies to local governments and the private sector for specific capital costs that support a statewide initiative.  State assistance is typically provided in the form of matching grants, loans, or loan guarantees, generally for more than one project in a given year.  The following State agencies, responsible for the programs listed beneath them, should follow the instructions for the submission of documents for non-State owned programs.

    <u>Department of Aging</u>
        Senior Citizen Activities Centers Grant Program
    <u>Department of Agriculture</u>
        Agricultural Land Preservation Program
        Maryland Agricultural Cost Share Program
        Tobacco Conversion Program

Department of Business and Economic Development
    Maryland Economic Development Assistance Fund
Maryland Energy Administration
    Community Energy Loan Program
    Energy Efficiency and Economic Development Loan Program
Department of the Environment
    Biological Nutrient Removal Program
    Comprehensive Flood Management Grant Program
    Enhanced Nutrient Removal Program
    Hazardous Substance Cleanup Program
    Maryland Drinking Water Revolving Loan Fund
    Maryland Water Quality Revolving Loan Fund
    Septic System Upgrade Program
    Sewer Rehabilitation Program
    Small Creek and Estuary Restoration Program
    Stormwater Pollution Control Program
    Supplemental Assistance to Grant and Loan Recipients Program
    Water Supply Assistance Program
Department of Health and Mental Hygiene
    Adult Day Care Facilities Grant Program
    Community Health Facilities Grant Program
    Federally Qualified Health Centers
Maryland Higher Education Commission
    Community College Grant Program
Department of Housing and Community Development
    Community Development Block Grants
    Community Legacy Program
    Homeownership Programs
    Neighborhood Business Development Program
    Partnership Rental Housing Program
    Rental Housing Programs
    Shelter and Transitional Housing Facilities Grant Program
    Special Loan Programs
Department of Juvenile Services
    Juvenile Services Facilities Grant Program
Department of Natural Resources
    Community Parks and Playgrounds
    Ocean City Beach Maintenance Fund
    Program Open Space
    Rural Legacy Program
    Shore Erosion Control Loan Program
    Waterway Improvement Program
Department of Public Safety and Correctional Services
    Local Jails and Detention Centers
Maryland Department of Planning
    Capital Grant Fund for Historical Preservation

Maryland Historical Trust Revolving Loan Fund
Interagency Committee for Public School Construction
Public School Construction Program

The following non-State agencies should also submit their capital funding requests using the instructions for a non-State owned program.

Maryland Hospital Association
Maryland Independent College and University Association

## C.      REQUIRED SUBMISSION DOCUMENTS

### 1.  Submission Requirements for Non-State Owned Projects

a.   **CBIS Forms.** In the event staff from the requesting organization have been trained in the use of the Capital Budget Information System (CBIS), then requests for funding non-State-owned projects must be submitted electronically in CBIS.  See Section VII: The Use of CBIS for Non-State Projects, for screen shots of required CBIS forms and detailed instructions on how to fill out these screens.

b.   **Letter from Organization Director.** Each organization submitting a capital budget request, whether it is electronically or on paper, must also submit a letter signed by the organization head, which summarizes and endorses the request.  In the event the organization's project was included in the Governor's current five-year capital improvement program, then this letter should also describe and justify any requested changes to the project or the funding proposed in the most recent five-year capital improvement program. This letter must be signed, provided in hard copy, and delivered by mail or courier.

c.   **Supporting Information.** Each organization submitting a capital budget request for a discrete non-State owned capital project may submit any maps, charts, tables, comparisons between capacity and usage, and such other supporting information as may be appropriate to support and persuade the Office of Capital Budgeting of the Department of Budget and Management that the project should be funded.  These documents must be submitted with the organization's transmittal letter.  If the documents are not submitted electronically, ten copies of each item should be provided.

### 2.  Submission Requirements for State Grant and Loan Programs

a.   **CBIS Forms.** Requests for funding State Grant and Loan programs must be submitted electronically in the Capital Budget Information System (CBIS).  See Section VIII: The Use of CBIS for State Grant

and Loan Programs for Non-State Projects, for screen shots of required CBIS forms and detailed instructions on how to fill out these screens.

b.  **Letter from Agency Secretary or Director.** Each State Agency submitting a capital budget request in CBIS must also submit a letter signed by the agency head, which summarizes and endorses the request. This letter should also describe and justify any requested changes to the Governor's most recent five-year capital improvement program.  This letter must be signed, provided in hard copy, and delivered by mail or courier.

c.  **Description and Justification Form.** Each State Agency submitting a capital budget request in CBIS must also submit a Program Description and Justification Form.  Detailed instructions and a sample-completed form are in Appendix D.  A copy of this form is available on the DBM website.  See the Introduction of this manual for instructions on how to access the form.

**NOTE:**  The following documents, if relevant, must be submitted along with the agency transmittal letter.  Any material not submitted electronically must be submitted with the agency transmittal letter along with 10 copies of each item.

d.  **Supporting Information.** Each State Agency submitting a capital budget request for a State Grant and Loan program may submit any maps, charts, tables, comparisons between capacity and usage, and such other supporting information as may be appropriate to support and persuade the Office of Capital Budgeting of the Department of Budget and Management that the program should be funded.

e.  **Fund Summary Table.** Each State Agency submitting a capital budget request for a State loan program must also submit fund summary tables. Detailed instructions and a sample-completed form are in Appendix E.  The table can be modified for special accounting requirements that are unique to a program. For example, a program partially funded by revenue bonds would need to include revenue bonds as an additional revenue source.  A copy of this form is available on the DBM website.  See the Introduction of this manual for instructions on how to access the form.

f.  **Private Use of Tax-Exempt Financing.** Each State agency submitting a General Obligation Bond funding request for a State grant and loan program with associated projects that may involve private uses must also submit a CB Form D1 or D2, Survey of Private Uses of Tax-Exempt Financing.  Detailed instructions and a sample-completed form are in Appendix F.  A copy of this form is available on the DBM

website.  See the Introduction for instructions on how to access the form.

## IV.  GETTING COMFORTABLE WITH CBIS

### A.  How to Use CBIS

The next four sections of this manual contain screen shots for each of the respective types of capital budget requests.  They include:

The Use of CBIS for State-Owned Projects (Section V)
The Use of CBIS for State-Owned Programs (Section VI)
The Use of CBIS for Non-State Owned Projects (Section VII)
The Use of CBIS for State Grant and Loan Programs for Non-State Projects (Section VIII)

Each of these sections begins with a preface that includes step-by-step instructions concerning:

(1) How to enter CBIS
(2) How to enter a project or program
(3) How to navigate through CBIS
(4) How to print a copy of your request
(5) How to make an electronic submittal of your forms

Prior to beginning the completion of the forms, the reader is urged to read the preface that pertains to the type of request being made.

### B.  Security

CBIS was designed with security in mind.  Everyone using CBIS must have a password to access the system.  Instructions for using passwords and a screenshot of the login screen are shown on page 16.  Staff members of one submitting agency are not able to view, update, or print the budget requests of another State Agency.  Additionally, State Agencies are not able to revise, update, or change the recommendations of the OCB analyst.  No groups, including the submitting agencies, are able to view the OCB Budget Analyst's recommendations, until publication in the Maryland Capital Budget in January of each year.

CBIS restricts the privileges of individual users by assigning each user a role.  This allows CBIS to prevent a user from seeing certain data, changing data, running reports on the data, or performing certain system functions.  The possible CBIS user roles, and the functions each can perform, are shown on page 17.
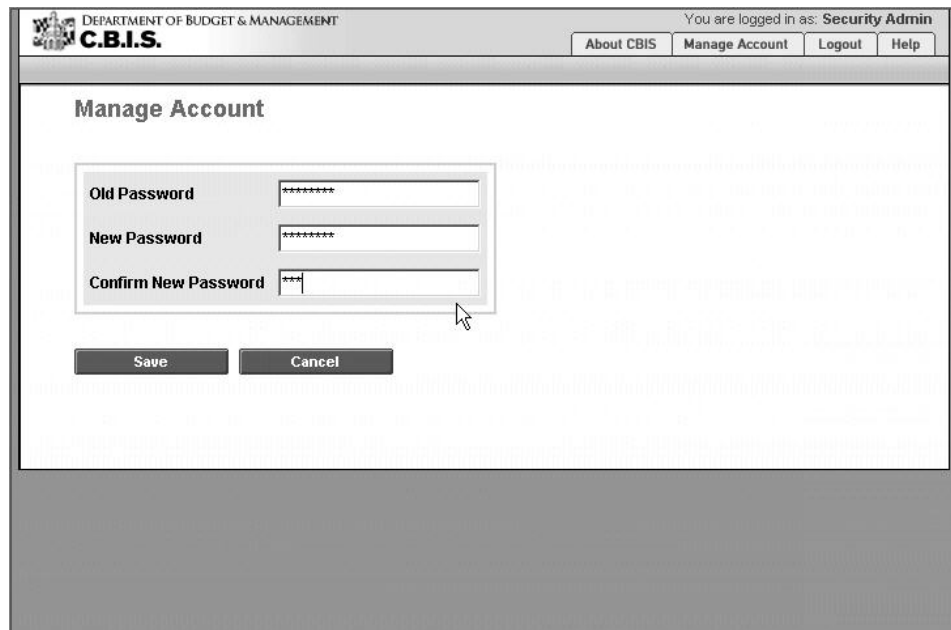
# Use of Passwords on Login Screen

When CBIS privileges are granted, a password will be assigned to you.
Enter this password in the Old Password field.
Enter your own new password in the New Password field.
Enter the new password a second time in the Confirm New Password field.



**NOTES:**

The contents of the **New Password** field and the **Confirm New Password** field must match.

The password information you are entering will not be displayed on the screen.

Passwords
- Must be between 8 and 10 characters
- Must contain at least 1 uppercase, 1 lowercase and 1 numeric character
- Cannot be the same as username
- Cannot have more than 2 consecutive identical characters
- Cannot be changed by changing only 1 character
- Cannot be reused for 6 months
- Suspend after 3 failed login attempts
- Expire every 45 days
- Are issued pre-expired

Secure passwords include uppercase letters, lowercase letters, and numerals.

| Roles | Permissible Functions |
|---|---|
| All Roles | View and print forms as noted in the roles below. |
| Agency User | View, add, edit, delete, print own agency requests.  Submit to own agency manager. |
| Agency Manager | Agency User privileges, except "Delete."  Submit request to OCB. |
| OCB Analyst | View, add, edit, delete, print information for assigned agencies. |
| OBA User | Create, edit, view, print operating budget information. |
| CEW Administrator | Create, edit, view, print CEW information. |
| DLS User | View all requests and recommendations. Generate reports. |
| CBIS Administrator | All of the above. Maintain reference data. Perform rollovers. |
| Security Administrator | Maintain Users. |

## C.  Helpful Hints

- Remember to click the "Save" button on data entry screens before exiting any screen, or you will lose any information you entered.  Additionally, if you do not click "Save" before leaving your computer, you will lose any unsaved information after 30 minutes.

- Do not hit the "Enter" button on a Data Entry Screen.  On some of these screens, clicking "Enter" defaults to "Cancel," and you will lose any information entered on that screen.

- Clicking the CBIS logo in the upper left corner of the screen will always return you to your CBIS home page, regardless of where you are in the program.  Alternatively, clicking the home button on the dark yellow toolbar will also return you to the CBIS home page.

- The screens do not have to be entered in the same order as they appear in this manual.

- If you make a mistake on any data entry screen, simply delete or overtype data.  If you make a mistake on the first screen where you classified your request as a Project or Program and as State-Owned, Non-State, or Grant and Loan, then it will be necessary to delete the entire project and start over again.

- Text boxes are entered in a text format and appear in small print. Experience has shown that it is easier to first type the text in Word, run spell check and grammar check, then copy and paste it into the CBIS text box.

## D. Getting Help

For on-line help at any time while running CBIS, click the "Help" button at the upper right corner of the screen. Clicking the "Help" button will open a separate browser window. The window will contain descriptive text about the screen currently displayed in CBIS, including a list of the buttons, text boxes, and other elements on the screen and what they do. This material is adapted from the screen information in this guide.

Also present in the "Help" window will be one or more links to common system functions that are performed with the current CBIS screen. Following one of those links will present a step-by-step list of instructions for that function.

The "Help" window may be closed to return to CBIS, or can be left open for ready reference. If assistance is needed to access CBIS, resolve a problem, or to establish a user account, contact the DBM Service Desk at 410-260-7778. If assistance is needed that relates to the specific project, please contact your assigned capital budget analyst.